

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

NREL 99-38

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/US00/13971

19 MAY 2000

19 MAY 1999

TITLE OF INVENTION

ENDOGLUCANASE MUTANTS AND MUTANT HYDROLYTIC DEPOLYMERIZING ENZYMES AND USES THEREOF

APPLICANT(S) FOR DO/EO/US

Michael E. Himmel, William S. Adney, John O. Baker, Todd B. Vinzant, Steven R. Thomas, Joshua Sakon and Stephen R. Decker

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 3 I).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☒ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

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Post Card Receipt, Utility Patent Application Transmittal

21. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO ----- \$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO ----- \$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ----- \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ----- \$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) ----- \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT**CALCULATIONS PTO USE ONLY**

\$ 100.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	26 -20 =	6	x \$18.00 9	\$ 108.00
Independent claims	6 -3 =	3	x \$80.00 42	\$ 240.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$ 0

TOTAL OF ABOVE CALCULATIONS = \$ 448.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

\$

SUBTOTAL - \$ 224.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE = \$ 224.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

TOTAL FEES ENCLOSED = \$ 224.00Amount to be
refunded:

\$

charged: \$ 224.00

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 14-1460 in the amount of \$ 224.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 14-1460. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Paul J. White
National Renewable Energy Laboratory
1617 Cole Blvd.
Golden, CO 80401

SIGNATURE

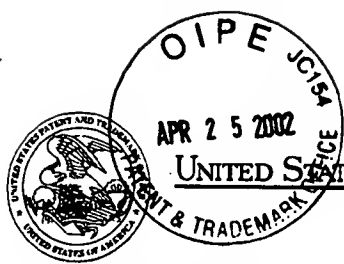
Paul J. White

NAME

30,436

REGISTRATION NUMBER

#3



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/997,504	11/19/2001	Michael E. Himmel	NREL 99-38

CONFIRMATION NO. 3921

23712
PAUL J WHITE, SENIOR COUNSEL
NATIONAL RENEWABLE ENERGY LABORATORY (NREL)
1617 COLE BOULEVARD
GOLDEN, CO 80401-3393

FORMALITIES LETTER



OC00000007598185

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Date Mailed: 03/07/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 370 to complete the basic filing fee for a small entity.
- Total additional claim fee(s) for this application is \$180.
 - \$54 for 6 total claims over 20.
 - \$126 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 615.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

04/26/2002 TL0011 00000012 140460 09997504

01 FC:201 370.00 CH
02 FC:203 54.00 CH
03 FC:202 126.00 CH
04 FC:205 65.00 CH

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



THE UNITED STATES PATENT & TRADEMARK OFFICE

Applicants: Michael E. Himmel et al.)
Serial No.: 09/997,504) Examiner: Not Yet Accorded
Filed: November 19, 2001) Art Unit: Not Yet Accorded
Title: Endoglucanase Mutants and Mutant) Atty. Dkt. No. NREL 99-38
Hydrolytic Depolymerizing Enzymes)
and Uses Thereof)

RESPONSE TO NOTICE OF MISSING PARTS OF APPLICATION

Honorable Assistant Commissioner for Patents
Box Missing Part
Washington, DC 20231

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This correspondence is in response to a Notice to File Missing Parts of Application Filing Date Granted, dated March 7, 2002, wherein the signatures of the inventors, Michael E. Himmel, William S. Adney, John O. Baker, Todd B. Vinzant, Steven R. Thomas Joshua Sakon and Stephen R. Decker were not executed in the oath or declaration.

In full compliance with the Notice of Missing Parts of Application Filing Date Granted, Applicants submit a properly executed Combined Declaration and Power of Attorney. Applicants also submits a surcharge of \$65.00 as set forth in 37 CFR §§ 1.16(e) authorizes the U.S. Patent & Trademark Office to charged the surcharge payment to Applicants' Deposit Account No. 14-0460. In the event Applicants owe more than \$65.00, Applicants authorizes the Patent Office to charge said amount to Applicants Deposit Account No. 14-0460.

A copy of Part 2 - Notice to File Missing Parts of Application is also enclosed as requested.

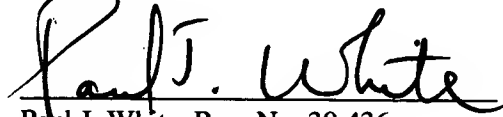
Applicant also includes a copy of the Transmittal Letter to the United States Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371 that was filed with the application on November 19, 2001. Applicant at that time authorized payment of the basic fee and the cost of the claims by the Deposit Account No. 14-0460.

SN 09/997,504

Page 2

Applicant is aware that documents may have been rerouted or lost due to the closing of the Washington DC Post Office during the time period this application was filed and wishes now to authorize again the payment of the filing fees associated with this application.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Paul J. White". The signature is written in a cursive style with a large initial "P".

Paul J. White, Reg. No. 30,436

Attorney for Applicants

Dated: April 11, 2002.

Enclosure: As stated above.

National Renewable Energy Laboratory
1617 Cole Blvd
Golden, CO 80401
303/384-7575



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

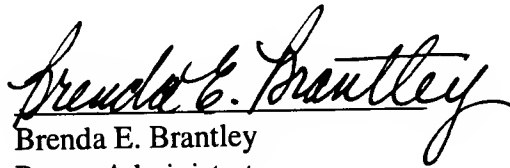
Applicant(s): Michael E. Himmel et al.)
Serial No.: 09/1997,504) Art Unit: 1633
Filing Date: November 19, 2001) Examiner: Not Yet Accorded
Title: Endoglucanase Mutants and Mutant) Atty. Dkt. No.: NREL 99-38
Hydrolytic Depolymerizing Enzymes)
and Uses Thereof)

CERTIFICATE OF MAILING UNDER 37 CFR § 1.8

I hereby certify that the following attached items:

- (1) Response to Notice to Missing Parts of Application
- (2) Executed Combined Declaration and Power of Attorney [4 pages]
- (3) Part 2 - Copy of Notice to File Missing Parts of NonProvisional Application
- (4) Information Disclosure Statement with cited references
- (5) Copy of Transmittal Letter to the U.S. Designated/Elected Office
Concerning a Filing Under 35 U.S.C. 371 [2 pages]
- (6) Postcard receipt

are being deposited in the United States Postal Service as first class mail, postage pre-paid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC. 20231 on this 11th day of April 2002.


Brenda E. Brantley
Patent Administrator

National Renewable Energy Laboratory
1617 Cole Boulevard
Golden, CO 80401
303/384-7572
303/384-4799 (fax)